



J1047 U.S. PTO

04-06-01

U.S. PTO
04/04/01Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0650-0047

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P1296

First Inventor

BIN YU

Title Method of Fabricating a Semiconductor Device having a Nitride/High-K/...

Express Mail Label No.

EL846391525US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 12]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Check Nos.: 3700 & 3701

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application Information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Labelor ☐ Correspondence address below

Name

LaRiviere, Grubman & Payne, LLP

Address

P.O. Box 3140

City

Monterey

State

CA

Zip Code

93942

Country

USA

Telephone

(831) 649-8800

Fax

(831) 649-8885

Name (Print/Type)

May Lin DeHaan

Registration No. (Attorney/Agent)

42,472

Signature

May Lin DeHaan

Date

4/4/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

G0065

"Express Mail" mailing label number: EL846391525US

Date of Deposit: April 4, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box Patent Application, Commissioner for Patents, Washington D.C. 20231.

Typed or Printed Name of Person Mailing Paper or Fee: Patricia Aguillon

Signature: Patricia Aguillon

PATENT
Docket No. P1296

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: BIN YU

SERIAL NO.: TO BE ASSIGNED

FILED: FILED HERewith

FOR: METHOD OF FABRICATING A SEMICONDUCTOR DEVICE
HAVING A NITRIDE/HIGH-K/NITRIDE GATE DIELECTRIC
STACK BY ATOMIC LAYER DEPOSITION (ALD) AND A
DEVICE THEREBY FORMED

BOX PATENT APPLICATION
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

TRANSMITTAL LETTER

Dear Sir:

In connection with the above-referenced matter, transmitted herewith are the following:

1. Utility Patent Application Transmittal (1 page);
2. Specification (6 pages), Claims (5 pages), and Abstract (1 page);
3. Informal Drawings (1 sheet, 6 figures);

G0065

4. Declaration and Power of Attorney for Patent Application (2 pages);
5. Request and Certification under 35 U.S.C.122(b)(2)(B)(i) (1 page);
6. Recordation Form Cover sheet (1 page);
7. Assignment Agreement (3 pages);
8. Fee Transmittal (1 page);
9. Check No. 3700 in the amount of \$710.00 for basic application fee;
10. Check No. 3701 in the amount of \$40.00 for recordation fee; and
11. Post Card in acknowledgment of all transmitted materials.

CLAIMS AS FILED BY A **LARGE/SMALL ENTITY**

(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) BASIC FEE \$710.00
TOTAL CLAIMS	20-20=	0	x \$18.00	0.00
INDEPENDENT CLAIMS	3-3=-0	0	x \$80.00	0.00
ANY MULTIPLE CLAIMS	0		0	
SURCHARGE				.00
TOTAL FILING FEE				\$710.00

Please date-stamp the enclosed postcard and return same to the undersigned in acknowledgment of receipt of all transmitted material.

Respectfully submitted,



May Lin DeHaan
Reg. No. 42,472

MLD/sgs
April 4, 2001
LARIVIERE, GRUBMAN & PAYNE
Post Office Box 3140
Monterey, CA 93942
(831) 649-8800

PTO/SB/35 (11-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

BIN YU

Title

Method of Fabricating a Semiconductor
Device having a Nitride/High-K/Nitride.

Atty Docket Number

P1296

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

4/4/01

Date



Signature

May Lin DeHaan, Reg.No. 42,472

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application upon filing.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/35 (11-00)